



**NNSA Policy Letter: BOP-003.0304R3
(Revision 3)**

Date: November 30, 2004

TITLE: Coordination and Approval Process (CAP) of Contract Actions

I. OBJECTIVES:

- A. Ensures compliance with laws, executive orders, regulations, policy issuances and procedures, and sound business practices;
- B. Provides appropriate checks and balances and reasonable assurances against fraud, waste, and abuse;
- C. Facilitates maintaining a high quality in contract actions including the exercise of sound business judgment and the inclusion of advice from subject matter experts; and,
- D. Drives down decision making by using risk based coordination and approval thresholds in conjunction with well-reasoned dollar based thresholds.

II. APPLICABILITY:

- A. This Policy Letter applies to all organizations and elements of the Administration having contracting authority and to contract actions taken by NNSA contracting officials obligating NNSA or non-NNSA funds. For the purpose of this policy letter, the term "contract actions" includes actions relating to solicitations, contract awards and modifications, financial assistance instruments, sales agreements, subcontracts, termination settlements, and other procurement and personal property actions. Aspects of this policy letter implement coordination and approval for actions that are covered by other policy issuances of NNSA. Those other policies may exempt certain NNSA organizations or elements from their provisions. Organizations and elements that believe they are exempt from some aspects of this policy due to exemption granted from another policy issuance of NNSA shall request exemption from those aspects of this policy in writing to the Director, Office of Acquisition and Supply Management (NA-63). The Director will grant any exemptions of applicability in writing.
- B. Contractors. If contractors have a requirement to obtain contracting officer consent or approval for certain subcontract actions, the contracting officer shall ensure the contractor provides documentation equivalent to that required for Federal submissions.

III. REQUIREMENTS:

- A. All organizational elements within NNSA responsible for contract actions must comply with the NNSA Coordination and Approval Process (CAP) at Exhibit #1 unless otherwise exempt under Paragraph II.A. above.
- B. Annual Forecast of Contracting Actions.
 - 1. Sixty days prior to the start of each fiscal year, NNSA organizations having contracting authority shall provide to Board of Awards (BOA) Chair, Office of Acquisition and Supply Management (NA-63), a listing of contract actions to be awarded in the coming fiscal year.
 - 2. The list shall include contract actions meeting any of the following criteria:
 - a. Action for the award, extension, or annual “fee and scope” modification of a management and operating (M&O) contract.
 - b. Actions in excess of the administrative control thresholds established in the NNSA HQ CAP, Exhibit #1.
 - c. Actions likely to provoke unusual public interest or of a new or unusual nature.
 - 3. A copy of a Major Acquisition/Financial Assistance Action Forecast Worksheet (see Exhibit #2 for sample format) for each contract action must be provided with the listing.
 - 4. The Board of Awards Chair will notify the Service Center Director and Site Office Managers, thirty days prior to the start of each fiscal year, of contract actions for coordination and approval. A waiver of Headquarters (HQ) coordination and approval is assumed for actions not selected. However, actions meeting the coordination and approval requirements that were not identified on the initial list are not automatically waived.
- C. Supplemental Forecasts of Contracting Actions
 - 1. NNSA organizations having contracting authority shall immediately notify the Board of Awards Chair upon becoming aware of contract actions (including M&O subcontract actions) meeting any of three criteria in Paragraph III.B.1 or when changes occur to contract actions identified on the initial List. Notification should be accomplished by submission of a Major Acquisition/Financial Assistance Action Forecast Worksheet (see Exhibit 2).

D. Headquarters coordination and approval.

1. The BOA Chair is responsible for leading HQ coordination of contract actions and providing the HCA and Senior Procurement Executive with recommendations regarding approval of such actions.
2. The composition of the BOA may vary depending on the action being reviewed. Membership may include legal, small business, and program office representation and other members as may be appropriate for a given action.
3. The BOA's functions are to ensure contract actions represent good business deals for NNSA and reflect high quality work products. The BOA's review focus for specific categories of contract actions is addressed in the NNSA Supplement to Chapter 71.1 of the DOE Acquisition Guide.
4. The BOA reports its findings and makes approval recommendations to the Approving Official.
5. The contracting office, in its acquisition planning, should provide for at least a three-week coordination process for each phase of a contract action (i.e. planning phase, solicitation phase; pre-negotiation phase; post negotiation phase; or prior to sealed bid award) selected by HQ for review. Contracting Offices may request expedited coordination for compelling reasons. Such requests shall be made directly to the BOA Chair.
6. Electronic copies of all documentation supporting the contract action must be submitted to the BOA. Documents to be submitted are addressed in the NNSA Supplement to Chapter 71.1 of the DOE Acquisition Guide.

E. Integrated Process Teams:

1. As an alternative to paragraph III.D.1 for major contract actions, an Integrated Process Team (IPT) may be established to document a formal agreement between Headquarters and Site Offices/Service Center (SO/SC) or between SO/SC and their contractors as to the contracting outcomes needed to support intended mission objectives, the most appropriate acquisition strategy, and the scope of quality control limits/verification methodologies needed to ensure the accomplishment of an agreed to course of action and results.
2. Use of IPTs in lieu of BOA reviews and HCA approvals of solicitations and contract awards shall be coordinated with the HCA and BOA Chair. Typically, IPTs may be appropriate on high dollar value, complex, unique actions or when the action may set a precedence within the NNSA.
3. The IPT will be chaired by a designee of the Head of the Contracting Activity (HCA) and will consist of contracting and program representatives from the Service Center, the Site Office, and the contractor as appropriate, local and/or

HQs counsel, a local small business program representative, and at least one contract specialist/contracting officer who is not involved in the contract action.

4. The IPT will develop the business strategy and advance acquisition plan, establish operational control limits to guide the contracting process, refine milestones and timelines, and formalize the Acquisition Business Strategy Agreement (ABSA). The ABSA will be submitted to the Senior Procurement Executive, through the BOA Chairman and the HCA, for approval.
5. If the ABSA is approved by the Senior Procurement Executive, the contract action may be conducted, in accordance with the approved ABSA, without further HQs review or approval.
6. The Senior Procurement Executive must approve any deviation from the ABSA. Material deviations from the ABSA may require that the contract action be processed in accordance with Paragraph III.D.

IV. RESPONSIBILITIES:

A. Office of Acquisition and Supply Management (NA-63) is responsible for:

1. Establishing policy for coordination and approval of contract actions at the Headquarters level. Policy below that level is established by the Service Center and the Site Offices and is incorporated into the attached Coordination and Approval Process (CAP) matrix. The BOA Chair is responsible for updating the CAP Matrix, Exhibit #1.
2. Oversight of contracting practices used by organizational elements within NNSA to ensure compliance with laws, regulations, sound business practices, and policy.
3. Selecting contract actions for HQ coordination and approval or waiving coordination and approval.
4. Approval of contract actions.
5. Approving use of IPT's to develop ABSAs.

B. Associate Director, Office of Business Services, NNSA Service Center is responsible for implementing this coordination and approval process for contract actions awarded by the Service Center.

C. Department Managers, Office of Business Services, NNSA Service Center are responsible for:

1. Identifying contract actions to be awarded in the upcoming fiscal year sixty days prior to the start of each fiscal year.

2. Notifying the BOA Chair of contract actions exceeding approval thresholds that arise subsequent to the annual forecast of contract actions.
 3. Reviewing and approving all HQ selected Service Center actions, within their respective purview.
 4. Submitting requests for waiver of HQ approvals.
 5. Performing the “Department Head (Service Center)” duties specified in Exhibit 1.
- D. Department Manager, Management Support Systems Department, Office of Business Services, NNSA Service Center is responsible for:
1. Performing independent review of all Service Center contract actions to be submitted to the BOA for coordination.
 2. Performing independent review of Site Office contracting actions, as requested by Site Offices.
- E. Site Office Managers/Deputy Site Managers are responsible for:
1. Implementing this coordination and approval process for contract actions under the cognizance of their office. This responsibility extends to assuring independent review of actions so that individuals responsible for initiating an action do not approve the action.
 2. For contract actions over which they have cognizance, performing the duties specified in applicable acquisition regulations as being performed at a level above the Contracting Officer but that are below the level of the HCA.
 3. Performing the “Manager/Site Office” duties specified in Exhibit 1 (note some actions require a warrant).
- F. Contracting Officers, Service Center or Site Office, are responsible for:
1. Ensuring that contract actions receive the level of coordination and approval required by this policy letter.
 2. Providing electronic copies of all necessary file documentation and any additional supporting data requested by reviewers.
 3. Planning the solicitation, evaluation, and award of contract actions to preclude the need for expedited coordination and approval.

4. For subcontracts selected for HQ coordination and approval, ensure documentation equivalent to that required for Federal acquisitions is provided to the BOA.

V. NNSA COORDINATION AND APPROVAL PROCESS:

- A. The NNSA Coordination and Approval Process Flowchart (Exhibit #3) illustrates the processes that contract actions will follow in order to obtain the required coordination and approval prior to signature and execution. Coordination and approval levels will vary according to the nature and dollar value of the contract action (option, extension, modification, etc.). The total estimated dollar value of the contract action, including option values, will be used to determine the appropriate coordination and approval level.
- B. Contract actions shall not be executed until the appropriate coordination and approval steps in this policy letter have been accomplished. The Coordination and Approval Document (see Exhibit 5) shall be included in every acquisition or financial assistance file that requires coordination and approval beyond the Contracting Officer.

VI. POINT OF CONTACT FOR ADMINISTRATION OF THE POLICY LETTER: Chair, Board of Awards, Office of Acquisition and Supply Management (NA-63), at 505.845.6920.

BY ORDER OF THE ADMINISTRATOR:

Robert C. Braden
Senior Procurement Executive
National Nuclear Security Administration

Exhibits:

1. Coordination and Approval CAP Matrix
2. Major Acquisition/Financial Assistance Action Forecast Worksheet Format NNSA CAP Process Flowchart
3. Formal Acquisition Plan Format
4. Coordination and Approval Document

**NNSA HEADQUARTER ACQUISITION
COORDINATION AND APPROVAL PROCEDURES
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Exhibit 1, NNSA Coordination and Approval Process

Simplified Acquisitions, Source Selection Authority, Synopsis Requirements ^{1#}																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Simplified Acquisitions				P1	S2													
Commercial Items and Commercial Services ≤ \$5 Million				P1	S2													
Source Selection Authority[*] ≤ \$5 million > \$5 Million Major Facilities				P1 P1 P1	C2 C2 C2		C3 C3 C3				A4 C4 C4			A5 C5	A6			
Synopsis				P1	C2													

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

* The Procurement Executive is the Source Selection Authority (SSA) for major facility management contracts. The HCA is the SSA for all other procurement actions. This authority may be redelegated.

Exhibit 1, NNSA Coordination and Approval Process

Acquisition Plans (Non-M&O) [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Written Acquisition Plans</u> ≤ \$5 Million > \$5,000,000 [^]		C3 ⇄	C3 C4	P1 P1	C2 C2	C6/FD	A4 C5				C7		C8	A9				

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

♦ Not required if the acquisition is reserved or set-aside entirely for small business (FAR 7.104(d)(1))

Exhibit 1, NNSA Coordination and Approval Process

Justifications for Other than Full and Open Competition [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA [@])	Office of General Counsel (NNSA [@])	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Justifications for Other Than Full & Open Competition (FAR 6.3)</u>																		
\$500,000 and Under	P/S1				A2													
\$501,000-\$1,000,000	P/S1		A4		S3			S2										
\$1,000,001-\$5,000,000	P/S1		A5		S3			S2		S4								
\$5,000,001-\$25,000,000 [^]	P/S1				S3	C4/FD		S2		S5	S6		C7	A9 [*]		S8		
Over \$25,000,000 [^]	P/S1				S3	C4/FD		S2		S5	S6		C7	C9	A10 [*]	C8		

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

* For actions exceeding \$10,000,000, the HCA is the Competition Advocate. For actions exceeding \$25,000,000, the Procurement Executive is the Competition Advocate.

Exhibit 1, NNSA Coordination and Approval Process

Small Business (Non-M&O) [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Small Business Exemptions (Non-M&O)</u> Over \$100,000		C3		P1	C2		C4	C5			C6		C7	C8	A9	A10		
<u>Small Business Reviews</u> Over \$100,000 [*]	P1	S3		C2	S4													

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1

^{*} Under \$100K: Reviews must be completed for acquisitions that are not set-aside for small businesses

Exhibit 1, NNSA Coordination and Approval Process

Service Center Solicitations (Non-M&O) %																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Solicitations & Amendments</u>																		
Competitive and Non-Competitive																		
Through \$1,000,000				P1	C2/S2	**	**		****	****								
\$1,000,001 - \$5,000,000				P1	C2/S4	**	C3		****	****	*		*	*				
Over \$5,000,000 ^				P1	C2/S9	C4/FD	C3		C5	C6	C7		C8	A9				

[%] Assistance in preparing solicitation cost instructions is available from the Pricing Team, Management Support Systems Department, NNSA Service Center.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

^{**} Obtain review under unique or unusual circumstances.

^{****} When unusual circumstances warrant or patent issues exist

^{*} Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

Exhibit 1, NNSA Coordination and Approval Process

<u>Mistakes in Bid</u> #																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Mistakes in Bid</u> Mistakes Disclosed Before Award – Apparent Clerical Mistakes (FAR 14.407-2) Mistakes Disclosed Before Award – Other ^ (FAR 14.407-3) Mistakes After Award (FAR 14.407-4 & 33.2) ^				P1	A2													
				P1	C2	C3/FD		**		C4 *	C5		C6	A7				
				P1	C2	C3/FD		**		C4 *	C5		C6	C7	A8			

Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

** Coordination may include the program office if mistakes involve technical requirements.

* Coordinate with OGE on mistakes in bids (except for minor informalities or irregularities and apparent clerical procedures other than clear-cut determinations of non-responsiveness)

Exhibit 1, NNSA Coordination and Approval Process

Cancellation of Solicitations [#]																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Cancellation of Solicitations</u> Cancellation of Invitations for Bids Before Bid Opening (FAR 14.209) Cancellation of Invitations After Bid Opening (FAR 14.404-1 & DEAR 914.404-1 (c)) [^] Rejection of all Proposals under Request for Proposal & Cancellation of Solicitations (FAR 15.608(b)) [^]				P1	A2					*								
				P1	C2	C3/FD				C4	C5		C6	A7				
				P1	C2	C3/FD		A6 ^{**}		C4	C5							

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

** The Source Selection Authority may reject all proposals received in response to a solicitation, if doing so is in the best interests of the government.

* Coordinate with OGE on bid rejections under sealed bidding procedures (other than clear-cut determinations of non-responsiveness) or proposal rejections under negotiated procurements.

Exhibit 1, NNSA Coordination and Approval Process

Organizational Conflicts of Interest [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	SC or Site Office Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Organizational Conflicts of Interest</u> [%] <u>Recommended Course of Action</u> for Potential OCI known prior to solicitation FAR 9.504 <u>OCI Waiver</u> FAR 9.503					P1	C3	C2	**		**	C4		C5	A6				
					P1	C3	C2	**		**	C4		C5	A6 [*]				

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[@] Applicable actions will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[%] The contracting officer's judgment need be formally documented only when a substantive issue concerning potential organizational conflict of interest exists.

^{**} Contracting officers should obtain the advice of counsel and the assistance of appropriate technical specialists in evaluating potential conflicts and in developing any necessary solicitation provisions and contract clauses

^{*} If the contracting officer finds that it is in the best interest of the United States to award the contract notwithstanding a conflict of interest, a request for waiver shall be submitted in accordance with 9.503. The waiver request and decision shall be included in the contract file.

Exhibit 1, NNSA Coordination and Approval Process

Pre-Negotiation Plans [#] / _%																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Pre-Negotiation Plan</u> Through \$1,000,000 \$1,000,001 - \$5,000,000 Over \$5,000,000; ^ or controversial actions or unusual in nature (regardless of dollar value); or overruns estimated at 25% of contract amount or over \$500,000				P1	S2		C3	***										
				P1	C2/S4		C3	***										
				P1	C2/S8	C4/FD	C3	***		C5	C6		C7	A8				

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[%] Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all new non-M&O awards exceeding \$500,000.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

*** Coordination with the program office is optional.

Exhibit 1, NNSA Coordination and Approval Process

Service Center Contract Awards (Non M&O) [≥] $\frac{\%}{1}$																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Through \$1,000,000	#	***		P1	S2	**			****	****								
\$1,000,001 - \$5,000,000	#	***		P1	C2/S4	**	C3		****	****								
Over \$5,000,000 ^	#	***		P1	C2/S10	C4/FD	C3		C5	C6	C7		C8 *	A9 *				
Letter Contract – written determination < (FAR 16.603-3)	#			P1	C2/S7		C3		****	****	C4		C5	A6				
Use of Option				P1	S/2													
Exercise of Options				P1	S/2													

[>] Excludes funding modifications and unilateral actions taken pursuant to FAR 43.103 (b)(1) or (3).

[%] Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all new non-M&O awards exceeding \$500,000.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[#] May include coordination of program office in instances, such as, when impact statement of urgency is required to justify issuance of a letter contract.

^{***} Acquisition solicitations above \$100,000 and modifications above \$500,000 having subcontracting possibilities only.

^{**} Obtain review under unique or unusual circumstances.

^{****} When unusual circumstances warrant or patent issues exist

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

^{*} Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

[<] Letter contracts follow the same coordination and approval procedures as definitized contracts.

Exhibit 1, NNSA Coordination and Approval Process

Protests ^{†‡}																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Protests</u> (FAR 33.103 & 104 DEAR 933.103 & 933.104) [^]																		
<u>Agency Level Protest</u> 1. Agency Level Protest Decision ^				P1	C2	C4/FD	C3	**		C5	S6			S7 ^{***}				
1a. Decision to Continue with Award or Performance ^				P1	C2	C4/FD	C3	**		C5	C6 [*]		C7	C8	A9	****		
<u>GAO Level Protest</u> 2. GAO Level Protest ^				P1	C2	C4/FD	C3	**		C5	S6 ^{*****}		C7	C8	A9			
2a. Decision to Continue with Award or Performance ^				P1	C2	C4/FD	C3	**		C5	S6		C7	C8			A9	

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

** Coordination with the program office may be necessary.

*** Protest decided by the Procurement Executive if:

-Protester requests decision by the Procurement Executive.

-HCA is contracting officer of record at time protest is filed, having signed either the solicitation where the award has not been made, or the contract, where the award or nomination of the apparent successful offer has been made.

-The HCA concludes that one or more of the issues raised in the protest have the potential for significant impact on NNSA acquisition policy.

* Cover letter transmitting protest file to NA-63, with copy to NA-3.1.

**** Endorsement required by the Deputy or Associate Administrator.

***** Cover letter transmitting protest file to NA-3.1, with copy to NA-63.

Exhibit 1, NNSA Coordination and Approval Process

Service Center Modifications (Non-M&O) %																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Modifications (Non-M&O)</u> \$1,000,000 and under \$1,000,001-\$4,999,999 \$5,000,000-^ \$10,000,000 Above \$10,000,000 or Causing the Contract Value to exceed \$10,000,000 ^ Incremental Funding or Administrative Modifications (regardless of dollar value)				P1	S2			<	**									
				P1	C2/S4		C3	<	**				*					
				P1	C2/S8	C4/FD	C3	<	**	C5	C6		C7	C8				
				P1	C2/S9	C4/FD	C3	<	**	C5	C6		* C7	* C8	* A9			
				P1	S2													

% Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all non-M&O modifications exceeding \$500,000.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

[<] Unless the modification is strictly administrative, include the program office in the coordination process.

** Coordination required when patent issues exist.

* Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

Exhibit 1, NNSA Coordination and Approval Process

Terminations (Non-M&O) [#] %																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Terminations (complete or partial) & Settlement Review Boards (SRBs) (Non M&O) (FAR 49)																		
Notification to Procurement Executive [^] [^]				P1	C2	C4/FD	C3	C5		C6	S7		N8	N9	N10			
Terminations																		
< \$10,000,000				P1	C2/S7		C3	C5	<	C6	A7							
≥ \$10,000,000 ^				P1	C2/S10	C4/FD	C3	C5	<	C6	C7		C8	A9	N10			

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[%] Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all non-M&O claims, terminations, settlements and equitable adjustments of any value.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^{*} The Procurement Executive shall be notified prior to taking any action to terminate (a) contracts for the operation of Government-owned facilities, (b) any prime contract or subcontract in excess of \$10 million, and (c) any contract the termination of which is likely to provoke unusual interest.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

[<] Coordination required when patent issues exist. Termination of prime contracts for the operation of government-owned facilities requires the transfer of intellectual property to the successor contractor and clearance through the Patent Counsel.

Exhibit 1, NNSA Coordination and Approval Process

Other Contractual Actions																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Other Contractual Actions</u> Extraordinary Contractual Actions Indemnification under PL 85-804 (FAR Part 50) Under \$50,000 \$50,000 and Over										P1 P1		** C2 ** C2	C4 C4	C5 C5	A6 C6	C3 C3	C7	A8

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

** If related to M&O or site specific contract.

Exhibit 1, NNSA Coordination and Approval Process

<u>Purchasing System Approvals (M&O and Non M&O), Precontract Costs, and Ratifications</u>																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Site Office or Service Center Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Purchasing System Approvals (M&O)</u>					P1							C2 A5	C3	C4				
<u>Purchasing System Approvals (Non M&O) #</u>				P1	C2 A6						C3		C4	C5				
<u>Precontract Costs #</u> Precontract Costs – period greater than 15 days (FAR 31.205-32)				P1	C2						C3		C4	A5				
<u>Ratifications ^ #</u> < \$25,000 ≥ \$25,000					P1 P1	C3/FD C3/FD	C2 C2		C4 C4	C5 C5	C6 C6		C7 C7	A8 C8	 A9			

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

Exhibit 1, NNSA Coordination and Approval Process

Subcontract Consents (Non-M&O and M&O)																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Subcontract Consents (FAR 44.2) # Required Subcontract Consents (Non-M&O) \$10M or less \$10M ^ or greater	C2 C2			P1 P1	A3 C4/S9		C3			C5	C6		* C7	* A8				
Subcontract Consents Subcontract Actions (M&O) Exceeding \$10M ☼ or of an Unusual Nature^	**			** P1	S6			**	**	C2		C3	* C4	* A5				

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

* Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

** In accordance with the Linton Brooks' Matrix, the Service Center has lead responsibility for M&O Subcontract Review Board activities and provides a recommendation for subcontract consent to the Site Office Contracting Officer. Assistance from audit, pricing, patents and technical specialists should be requested as needed.

☼ Or causing the subcontract value to exceed \$10M, or if the modification increases the subcontract value by 20% or more. The threshold is \$10M unless the purchasing system approval provides for a higher value.

Exhibit 1, NNSA Coordination and Approval Process

Financial Assistance Instruments (10 CFR 600) [#] _%																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Restricted Eligibility or Non-Competitive Determination																		
\$1,000,000 or Under ^				C2	C3	C5/FD	C4	P1		C6	C7		C8	A9				
Over \$1,000,000 ^				C2	C3	C5/FD	C4	P1		C6	C7		C8	C9	C10	A11		
Solicitations and Awards (Competitive and Noncompetitive)																		
< \$5,000,000				P1	C2/S4		#	**	C3	#								
≥ \$5,000,000 ^				P1	C2/S9	C4/FD	C3	**	C5	C6	C7		C8 *	A9 *				

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[%] Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all new non-M&O awards exceeding \$500,000.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

^{**} Coordination with the Program Office may be considered.

[#] When unusual circumstances warrant.

^{*} Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

Exhibit 1, NNSA Coordination and Approval Process

Utilities (Non-M&O) [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Utility Procurement Plans</u> (Includes draft contracts regardless of dollar value or type)* (FAR 41) ^	P1			C2	C3	C5/FD	C4	C7		C6	C8		C9	C10 *	A12 *	C11 **		

[#] Matrix assumes action is performed by the Service Center. If action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

^{*} HQ, NA-52, the Office of General Counsel (NA -3.1) and HQ Office of Acquisition and Supply Management (NA-63), jointly review and NA-63 approves the acquisition and sale of utilities.

^{**} HQ, Office of Infrastructure and Facilities Management (NA-52) is the Associate Administrator for all utility acquisitions.

Exhibit 1, NNSA Coordination and Approval Process

Sales and Interagency Agreements [#]																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Sales</u> *** See footnote below.																		
<u>Interagency Agreements</u> **** Funds-Out Only < \$1,000,000 ☼ ≥ \$1,000,000				P1 P1	C2/S5 C2/S7		C3 C3				C4 C4		C5	C6				

[#] Matrix assumes action is performed by the Service Center. If the action is performed by the Site Office, a similar hierarchy within the Site Office shall be used.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent and/or Procurement). Qualification relative to the field counsel will be determined by GC-1.

*** Sales contract means a legal agreement under which DOE will provide to a non-Federal source, products and services such as energy research and development and related technical and analytical services, oil, nuclear waste disposal and interim storage services. Reimbursable Work for Others includes work for other Federal agencies or non-Federal entities performed by the M&O contractors. Contracting Officers with the authority to sign "Sales" perform the determinations and certification requirements set forth in DOE order 481.1B and DOE Notice 481.1A for all reimbursable Work for Others. Identification of sales activities to NA-63 or review of sales activities by NA-63 is not required. However, it is expected that Work for Others activities will be reviewed and assessed periodically as part of the Service Center/Site Office Procurement System Self Assessment. The Office of Institutional and Joint Programs Staff, NA-116, will perform the periodic assessment of Work for Others actions and provide the results of those assessments to the Service Center and NA-63.

**** Review requirements pertain to Interagency Agreements (IAs) that: (1) place NNSA in the role of "requiring" agency (i.e. NNSA is seeking goods or services from another Federal agency (funds-out), as opposed to where NNSA is the "servicing" agency (funds-in)), and (2) do not specifically prohibit the servicing agency from providing NNSA with the required goods or services through existing or future contracts awarded by the other agency. It does not include IAs with the General Services Administration for space or utilities, or those necessary to use other agency's Government-Wide Acquisition Contracts (GWACs).

✧ Conditioned upon notification of the award to the Board of Awards and a Contracting Officer certification that no subcontracting opportunities exist.

Exhibit 1, NNSA Coordination and Approval Process

Site Specific Solicitations (M&O and Non-M&O) %																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Site Office Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Solicitations & Amendments</u> Competitive and Non-Competitive Through \$1,000,000 \$1,000,001 - \$5,000,000 Over \$5,000,000 ^					P1	C2/FD			****	****								
					P1	C2/FD			****	****		C3						
					P1	C2/FD			C3	C4		C5	*	*				
													C8	A9				

% Assistance in preparing solicitation cost instructions is available from the Acquisition Support Team, Management Support Systems Department, NNSA Service Center.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

**** When unusual circumstances warrant or patent issues exist

* Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

Exhibit 1, NNSA Coordination and Approval Process

<u>Contract Awards (M&O)</u> <u>(FAR 17.6)</u>																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Contracting Officer (SC or Site Office)	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA[®])	Office of General Counsel (NNSA)[@]	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
New Awards & Five-Year Rewrites [^]				*	P1/S11	C2/FD			C3	C4		C5	C6	C7	A10	N8	N9	
Extend/Compete Recommendations and Decision (M&O) [^] (FAR 17.602, DEAR 917.602 and 605, AL-96-09)				*	P1	C2/FD				C3		C4	C5	C6	C7	C8	C9	S10 ^{**}
Exercise of Option to Extend a Competitively Awarded M&O Contract [^] (AL-96-09)				*	P1/S9	C2/FD			C3	C4		C5	C6	A7		A8		

[@] Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

[^] Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

* In accordance with the Linton Brooks' Matrix, the Service Center has lead responsibility for M&O Contract Award activities and a supporting role for Extend/Compete Recommendations.

** Decision to extend or compete is reserved for the Agency Head.

Exhibit 1, NNSA Coordination and Approval Process

Site Office Modifications (M&O and Non-M&O) %																		
ACTION CODES: A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Site Office Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Site/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Site Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
Site Specific Modifications (M&O and Non-M&O) ≤ \$1,000,000 ^ \$1,000,001-\$4,999,999 ^ \$5M - \$10M ^ Above \$10M or Causing the Contract Value to exceed \$10M ^ Incremental Funding or Administrative Modifications (regardless of dollar value)					P1/S3 P1/S5 P1/S7 P1/S7 P/S1	C2/FD C2/FD C2/FD C2/FD		< < < <	** ** ** **	 C3 C3 C3		 C4 C4 C4	 * * C5	 A6 * C6	 * A7			

% Pricing assistance, in accordance with Contract Specialist Guide 15.4, is required for all non-M&O modifications exceeding \$500,000.

@ Applicable actions submitted for HQ review will include evidence of appropriate and qualified counsel review and coordination (Patent or/ and Procurement). Qualification relative to the field counsel will be determined by GC-1.

^ Action will include evidence in documents that a SC or Site as applicable, independent peer review has been conducted.

< Unless the modification is strictly administrative, include the program office in the coordination process.

** Coordination required when patent issues exist.

* Subject to selection under the annual HQ CAP Review Plan. For actions submitted but not selected, HQ review is waived. The waiver does not apply to actions not previously identified to NA-63, Office of Acquisition and Supply Management. Independent Review is required for all award instruments and files to be forwarded to HQ. If NA-63 Process Waiver is granted, documents will be coordinated and approved IAW the approved Service Center Coordination and Approval Process.

Exhibit 1, NNSA Coordination and Approval Process

<u>Performance Evaluation Plans & Reports (M&O)</u> <u>Fee Determination</u>																		
<u>ACTION CODES:</u> A- Approval C-Coordination & Review P-Preparation S-Signature N-Notification FD-File Documented Numbers reflects order in which to accomplish actions.	PR Initiator/Program Office	Small Business Specialist	Competition Advocate	Contract Specialist	Site Office Contracting Officer	Independent Review (Service Center or Site Office)	Division Manager	Program Official or SSA (HQ/Service)	Patent Counsel (NNSA @)	Office of General Counsel (NNSA @)	Department Head (Service)	Manager/Service Office	Board of Award	Head of the Contracting Activity	Senior Procurement Executive	Deputy or Associate Administrator	Administrator/NNSA	Agency Head
<u>Performance Evaluation Plans (M&O)</u> Review and Approval of Performance Evaluation Plans	Reviews will be accomplished in accordance with NAP-4.																	
<u>Performance Evaluation Reports (M&O)</u> Review and Approval of Performance Evaluation Reports	Reviews will be accomplished in accordance with NAP-4.																	
<u>Fee Determination</u> Fee Determination	Reviews will be accomplished in accordance with NAP-4.																	

Exhibit 2
Sample Major Acquisition/Financial Assistance Action Forecast Worksheet

1. Contracting activity, and individual point of contact (including name/phone no.):
2. Method (sealed bid, negotiated, other):
3. Type of action (contract type (i.e., CPFF, FFP); grant; cooperative agreement; loan; etc):
4. Estimated dollar value, including any options:
5. Percentage (in %) of requirement set-aside for SB, SDB, WOB, and/or HUBZone concerns:
6. NAICS code:
7. Is the action, or portion thereof, the result of a consolidation of previously separate requirements:
8. ☐ New Award; ☐ Modification
9. Estimated month of solicitation issuance:
10. Estimated month of award:
11. Name of contractor, if known (incumbent and/or potential awardee):
12. Degree of confidence that action will be funded: ☐ High ☐ Medium ☐ Low
13. Brief description of work:
14. Degree to which this procurement has been previously reviewed by NA-63: (Example: You are reporting a contract award from a solicitation already reviewed by Headquarters.)

Exhibit 3
Coordination and Approval Process (CAP) Process Flowchart

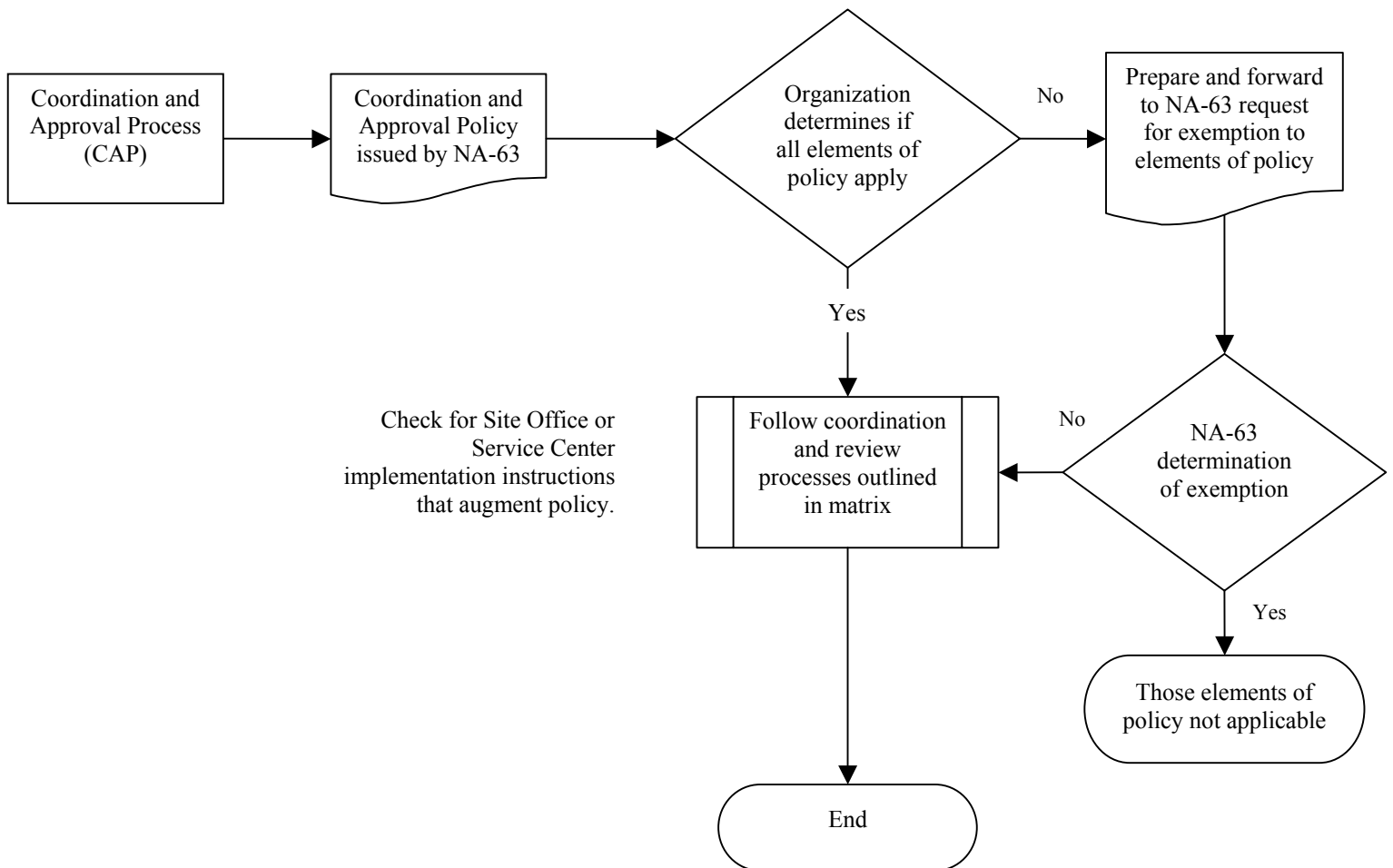


EXHIBIT 4

FORMAL ACQUISITION PLAN

For

PROJECT/PROCUREMENT:

A. ACQUISITION BACKGROUND AND OBJECTIVES

1. Statement of need.
2. Applicable conditions.
3. Cost.
4. Capability or Performance.
5. Delivery or Performance-Period Requirements.
6. Trade-Offs.
7. Risks.
8. Acquisition Streamlining.

B. PLAN OF ACTION

1. Sources.
2. Competition.
3. Source Selection Procedures.

4. Acquisition Considerations.
5. Budgeting and Funding.
6. Product or Service Descriptions.
7. Priorities, Allocations, and Allotments.
8. Contractor Versus Government Performance.
9. Inherently Governmental Functions.
10. Management Information Requirements.
11. Make or Buy.
12. Test and Evaluation.
13. Logistics Considerations.
14. Government-Furnished Property.
15. Government-Furnished Information.
16. Environmental and Energy Conservation Objectives.
17. Security Considerations.
18. Contract Administration.
19. Performance-Based Strategies.
20. Other Considerations.
21. Milestones for the Acquisition Cycle.

Acquisition plan approval.

Statement of work.

Specifications.

Data requirements.

Completion of acquisition-package preparation.

Purchase request.

Justification and approval for other than full and open competition where applicable and/or any required D and F approval.

Issuance of synopsis.

Issuance of solicitation.

Evaluation of proposals, audits, and field reports.

Beginning and completion of negotiations.

Contract preparation, review, and clearance.

Contract award.

22. Identification of Participants in Acquisition Plan Preparation.



NNSA Service Center/Site Office



COORDINATION & APPROVAL DOCUMENT

TITLE OF DOCUMENT: Sample: Service Center Prime Contract Action or Financial Assistance Instrument Exceeding \$5M		Document No. DE-AC52-03NAXXXXX	
		Modification/Amendment Number Basic Award - A000	
DESCRIPTION: Support Services Contract in support of the XYZ program		Department: Acquisition and Financial Assistance	
		Division: Acquisition Department	
		POC Name and Telephone Number: Joe Smith, (XXX)XXX-XXXX	
You are requested to review the attached document and indicate your coordination/approval in the space provided. Comments and/or nonconcurring statements should be attached on a separate sheet.			
COORDINATING/APPROVING OFFICE	ORDER	SIGNATURE	DATE
Contract Specialist	P-1		
Contracting Officer	C-2/S-10		
Division Manager	C-3		
Independent Review	C-4		
Patent Counsel	C-5		
Legal Counsel	C-6		
Department Manager	C-7		
Board of Awards	C-8		
Head of the Contracting Activity	A-9		

LEGEND:

P/Preparation: prepares the document

A/Approval: affixes signature as the approving official

C/Coordination: coordinates as a reviewer

S/Signature: signs/executes the document